

Docket No.: 99-030

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Applicant of: John M. PACKES et al.

For: SYSTEM AND METHODS TO PROVIDE
A PRODUCT TO A CUSTOMER BEFORE
A FINAL TRANSACTION TERM VALUE
IS ESTABLISHED

Examiner: Not Assigned

Serial No.: 09/409,041

Group Art Unit: 2761

Filing Date: September 29, 1999

Docket No.: 99-030

Office of Initial Examination's Customer Service Center
Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Applicants hereby submit the following documents for the above-identified patent application:

1. Second Request for Corrected Filing Receipt;
2. Copy of original transmittal letter;
3. Red-lined Copy of Official Filing Receipt; and
4. Return Receipt Postcard.

The Assistant Commissioner is hereby authorized to charge the associated filing fee in the amount of \$0.00 to **Deposit Account No. 50-0271**. Order No. 99-030. A duplicate copy of this sheet is attached. The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for the submission of this paper, or credit any overpayment, to **Deposit Account No. 50-0271**. Order No. 99-030. A duplicate copy of this sheet is attached.

February 11, 2000

Date

Respectfully submitted,

Patrick J. Buckley
Agent for Applicants
PTO Reg. No. 40,928
Walker Digital Corporation
One High Ridge Park
Stamford, CT 06905
(203) 905-6540
(203) 595-8266 (fax)

Certificate of Mailing

I hereby certify that this correspondence is being sent via first class mail in an envelope with sufficient postage addressed to Assistant Commissioner for Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231 on February 11, 2000.

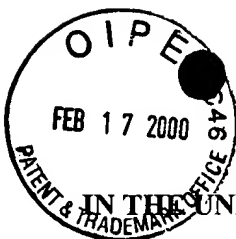
Nalini P. Sahadeo

Typed Name of Person Making Deposit

Signature

February 11, 2000

Date



99-030
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Assistant Commissioner for Patents
Washington, D.C. 20231

TC 2700 MAIL ROOM

MAR 27 2000

RECEIVED

SECOND REQUEST FOR CORRECTED FILING RECEIPT

Applicants respectfully request that the filing receipt for the above-identified patent application be corrected as follows:

- 1) Please **REMOVE** the following incorrect information:

"CONTINUING DATA AS CLAIMED BY APPLICANT -

This APPLN IS A CON OF 08/889,503 07/08/97

WHICH IS A CON OF 09/083,345 05/22/98

WHICH IS A CON OF 09/337,906 06/22/99"

The requested correction is indicated in red on an enclosed copy of the official Filing Receipt.

In support of this request, applicants have enclosed a copy of the patent application transmittal letter filed with the original application on September 29, 1999, which clearly indicates the correct data requested above. Please issue a corrected Filing Receipt in due course.

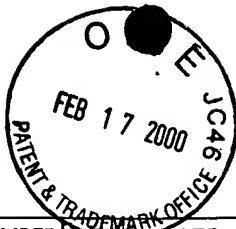
Respectfully submitted,

Patrick J. Buckley
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Walker Digital Corporation
One High Ridge Park
Stamford, CT 06905
(203) 905-6540
(203) 595-8266 (fax)

February 11, 2000

Date

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/409,041	09/29/99	2761	\$899.00	WD2-99-030	10	56	8

022927
WALKER DIGITAL
ONE HIGH RIDGE PARK
STAMFORD CT 06905

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) JOHN M. PACKES JR., HAWTHORNE, NY; JAY S. WALKER, RIDGEFIELD, CT; DANIEL E. TEDESCO, NEW CANAAN, CT; STEPHEN C. TULLEY, STAMFORD, CT; KEITH BEMER, NEW YORK, NY.

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A CON OF 08/889,503 07/08/97
WHICH IS A CON OF 09/083,345 05/22/98
WHICH IS A CON OF 09/337,906 06/22/99

delete

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 10/21/99 ** SMALL ENTITY **
TITLE
SYSTEMS AND METHODS TO PROVIDE A PRODUCT TO A CUSTOMER BEFORE A FINAL
TRANSACTION TERM VALUE IS ESTABLISHED

PRELIMINARY CLASS: 705

File No:	99-a30
Attorney:	SPA
Due Date:	2/11/00
Docket:	2/7/00

DATA ENTRY BY: WHITE, JACKIE

TEAM: 03 DATE: 02/01/00



(See reverse for new important information)

UTILITY PATENT APPLICATION TRANSMITTAL

(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
WD2-99-030

Total Pages in this Submission

139

TO THE ASSISTANT COMMISSIONER FOR PATENTSBox Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled

SYSTEMS AND METHODS TO PROVIDE A PRODUCT TO A CUSTOMER BEFORE A FINAL TRANSACTION TERM VALUE IS ESTABLISHED

and invented by:

John M. PACKES, Jr.; Jay S. WALKER; Daniel E. TEDESCO; Stephen C. TULLEY; Keith BEMER

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 36 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☒ Cross References to Related Applications (if applicable)
 - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
 - d. ☐ Reference to Microfiche Appendix (if applicable)
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☒ Brief Description of the Drawings (if drawings filed)
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure

UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
WD2-99-030

Total Pages in this Submission
139

Application Elements (Continued)

3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
a. ☒ Formal b. ☐ Informal Number of Sheets 10
4. ☒ Oath or Declaration
a. ☒ Newly executed *(original or copy)* ☐ Unexecuted
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
c. ☒ With Power of Attorney ☐ Without Power of Attorney
d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*
a. ☐ Paper Copy
b. ☐ Computer Readable Copy
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☐ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☒ Information Disclosure Statement/PTO-1449 ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
☐ First Class ☒ Express Mail *(Specify Label No.):* EL426143395US

UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
WD2-99-030

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139

Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 1

17. ☒ Additional Enclosures (please identify below):

12 Cited references for IDS

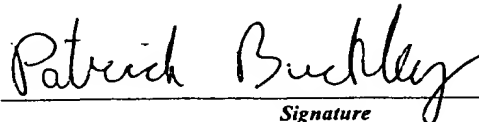
Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	56	- 20 =	36	x \$9.00	\$324.00
Indep. Claims	13	- 3 =	10	x \$39.00	\$390.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$380.00
OTHER FEE (specify purpose) <u>Assignment</u>					\$40.00
TOTAL FILING FEE					\$1,134.00

- ☐ A check in the amount of _____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0271 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$1,134.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: September 29, 1999


Signature

Patrick J. Buckley
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cc: